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10 Attorneys for Defendant

UBS SECURITIES LLC

11 **UNITED STATES DISTRICT COURT**

12 **NORTHERN DISTRICT OF CALIFORNIA**

13  
14 FRANCIS FLEMING, Individually and  
on Behalf of All Others Similarly  
15 Situated,

16 Plaintiff,

17 v.

18 THE CHARLES SCHWAB  
CORPORATION, CHARLES SCHWAB  
19 & CO., INC., CHARLES R. SCHWAB,  
WALTER W. BETTINGER II and UBS  
20 SECURITIES LLC,

21 Defendant.

Case No. 3:15-cv-02945-RS

**NOTICE OF APPEARANCE**

1 Defendant UBS Securities LLC hereby appears in the above-captioned case through its  
2 attorneys David C. Bohan, Patrick M. Smith, and Ryan J. Larsen of Katten Muchin Rosenman,  
3 LLP.

4  
5 DATED: July 27, 2015

Respectfully submitted,

6 **KATTEN MUCHIN ROSENMAN LLP**

7 David C. Bohan  
8 Patrick M. Smith  
9 Ryan J. Larsen

10 By: /s/  
11 Ryan J. Larsen  
12 Attorneys for Defendant  
13 UBS Securities LLC  
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